UNITED STATES DISTRICT COURT

EASTERN DISTRICT OF WASHINGTON

ANTAYA L. MACK,

Plaintiff,

ORDER GRANTING DEFENDANT'S

MICHAEL J. ASTRUE, Commissioner of Social Security,

Defendant.

Defendant.

BEFORE THE COURT are cross-motions for summary judgment noted for hearing without oral argument on May 15, 2009. (Ct. Rec. 13, 16). Attorney Maureen J. Rosette represents Plaintiff; Special Assistant United States Attorney Stephanie R. Martz represents the Commissioner of Social Security ("Commissioner"). The parties have consented to proceed before a magistrate judge. (Ct. Rec. 7.) On May 5, 2009, plaintiff filed a reply. (Ct. Rec. 18.) After reviewing the administrative record and the briefs filed by the parties, the court GRANTS Defendant's Motion for Summary Judgment (Ct. Rec. 16) and DENIES Plaintiff's Motion for Summary Judgment (Ct. Rec. 13).

JURISDICTION

Plaintiff protectively filed applications for disability insurance benefits (DIB) and supplemental security income (SSI) benefits on March 1, 2005, initially alleging symptoms related to

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a mental breakdown, bipolar disorder and migraine headaches. Plaintiff later alleged she suffered from more manic episodes, as well as back and neck pain. (Tr. 84-88, 98, 125, 133, 144, 292-294,.) Both applications allege onset as of November 9, 2004. (Tr. 84, 292.) The applications were denied initially and on reconsideration. (Tr. 37-38, 45-47, 284-285, 287-290.) At a hearing before Administrative Law Judge (ALJ), Paul L. Gaughen on October 17, 2007, and continued to January 17, 2008, plaintiff, represented by counsel, vocational expert K. Diane Kramer, and Kay Mack, plaintiff's mother, testified. (Tr. 299-308, 311-342.) On March 8, 2008, the ALJ issued an unfavorable decision. (Tr. 16-26.) The Appeals Council received additional evidence and denied a request for review on June 26, 2008. 4-8.) Therefore, the ALJ's decision became the final decision of the Commissioner, which is appealable to the district court pursuant to 42 U.S.C. § 405(g). Plaintiff filed this action for judicial review pursuant to 42 U.S.C. § 405(g) on July 21, 2008. (Ct. Rec. 1, 4.)

STATEMENT OF FACTS

The facts have been presented in the administrative hearing transcripts, the ALJ's decision, the briefs of both Plaintiff and the Commissioner, and are summarized here.

Plaintiff was 25 years old at onset and 28 at the time of the hearing. (Tr. 305.) She has a high school education and one and a half years of college. (Tr. 318.) Plaintiff has worked as an administrative clerk, sales coordinator and portfolio manager, among other positions. (Tr. 64, 120, 222.) She testified she worked 20 hours per week, and works as a volunteer youth leader in

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her church. (Tr. 323.) Plaintiff was having headaches daily for two months prior to the hearing, but they only affected her concentration "a little." (Tr. 323-324.) Side effects from medication include moodiness, exhaustion, and occasionally becoming short tempered. (Tr. 324.) Plaintiff's hobbies include dancing, shopping and reading. (Tr. 325.) Plaintiff sleeps eight hours in an average night but feels exhausted. (Tr. 320-323, 326.)

SEQUENTIAL EVALUATION PROCESS

The Social Security Act (the "Act") defines "disability" as the "inability to engage in any substantial gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of not less than twelve months." 42 U.S.C. §§ 423(d)(1)(A), 1382c(a)(3)(A). The Act also provides that a Plaintiff shall be determined to be under a disability only if any impairments are of such severity that a plaintiff is not only unable to do previous work but cannot, considering plaintiff's age, education and work experiences, engage in any other substantial gainful work which exists in the national economy. 42 U.S.C. §§ 423(d)(2)(A), 1382c(a)(3)(B). Thus, the definition of disability consists of both medical and vocational components. Edlund v. Massanari, 253 F.3d 1152, 1156 (9th Cir. 2001).

The Commissioner has established a five-step sequential evaluation process for determining whether a person is disabled.

20 C.F.R. §§ 404.1520, 416.920. Step one determines if the person is engaged in substantial gainful activities. If so, benefits are

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denied.
            20 C.F.R. §§ 404.1520(a)(4)(i), 416.920(a)(4)(i).
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   not, the decision maker proceeds to step two, which determines
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   whether plaintiff has a medically severe impairment or combination
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   of impairments. 20 C.F.R. §§ 404.1520(a)(4)(ii),
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   416.920(a)(4)(ii).
        If plaintiff does not have a severe impairment or combination
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   of impairments, the disability claim is denied. If the impairment
   is severe, the evaluation proceeds to the third step, which
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   compares plaintiff's impairment with a number of listed
   impairments acknowledged by the Commissioner to be so severe as to
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   preclude substantial gainful activity. 20 C.F.R. §§
   404.1520(a)(4)(ii), 416.920(a)(4)(ii); 20 C.F.R. § 404 Subpt. P
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            If the impairment meets or equals one of the listed
   impairments, plaintiff is conclusively presumed to be disabled.
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   If the impairment is not one conclusively presumed to be
   disabling, the evaluation proceeds to the fourth step, which
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   determines whether the impairment prevents plaintiff from
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   performing work which was performed in the past. If a plaintiff
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   is able to perform previous work, that Plaintiff is deemed not
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   disabled. 20 C.F.R. §§ 404.1520(a)(4)(iv), 416.920(a)(4)(iv).
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   At this step, plaintiff's residual functional capacity ("RFC")
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   assessment is considered. If plaintiff cannot perform this work,
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   the fifth and final step in the process determines whether
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   plaintiff is able to perform other work in the national economy in
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   view of plaintiff's residual functional capacity, age, education
   and past work experience. 20 C.F.R. §§ 404.1520(a)(4)(v),
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   416.920(a)(4)(v); Bowen v. Yuckert, 482 U.S. 137 (1987).
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        The initial burden of proof rests upon plaintiff to establish
   ORDER GRANTING DEFENDANT'S MOTION
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a prima facie case of entitlement to disability benefits. Rhinehart v. Finch, 438 F.2d 920, 921 (9th Cir. 1971); Meanel v. Apfel, 172 F.3d 1111, 1113 (9th Cir. 1999). The initial burden is met once plaintiff establishes that a physical or mental impairment prevents the performance of previous work. The burden then shifts, at step five, to the Commissioner to show that (1) plaintiff can perform other substantial gainful activity and (2) a "significant number of jobs exist in the national economy" which plaintiff can perform. Kail v. Heckler, 722 F.2d 1496, 1498 (9th Cir. 1984).

STANDARD OF REVIEW

Congress has provided a limited scope of judicial review of a Commissioner's decision. 42 U.S.C. § 405(q). A Court must uphold the Commissioner's decision, made through an ALJ, when the determination is not based on legal error and is supported by substantial evidence. See Jones v. Heckler, 760 F.2d 993, 995 (9th Cir. 1985); Tackett v. Apfel, 180 F.3d 1094, 1097 (9th Cir. 1999). "The [Commissioner's] determination that a plaintiff is not disabled will be upheld if the findings of fact are supported by substantial evidence." Delgado v. Heckler, 722 F.2d 570, 572 $(9^{th} Cir. 1983)$ (citing 42 U.S.C. § 405(g)). Substantial evidence is more than a mere scintilla, Sorenson v. Weinberger, 514 F.2d 1112, 1119 n. 10 (9^{th} Cir. 1975), but less than a preponderance. McAllister v. Sullivan, 888 F.2d 599, 601-602 (9th Cir. 1989); Desrosiers v. Secretary of Health and Human Services, 846 F.2d 573, 576 (9th Cir. 1988). Substantial evidence "means such evidence as a reasonable mind might accept as adequate to support a conclusion." Richardson v. Perales, 402 U.S. 389, 401 (1971)

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(citations omitted). "[S]uch inferences and conclusions as the [Commissioner] may reasonably draw from the evidence" will also be upheld. Mark v. Celebrezze, 348 F.2d 289, 293 (9th Cir. 1965). On review, the Court considers the record as a whole, not just the evidence supporting the decision of the Commissioner. Weetman v. Sullivan, 877 F.2d 20, 22 (9th Cir. 1989) (quoting Kornock v. Harris, 648 F.2d 525, 526 (9th Cir. 1980)).

It is the role of the trier of fact, not this Court, to resolve conflicts in evidence. Richardson, 402 U.S. at 400. Ιf evidence supports more than one rational interpretation, the Court may not substitute its judgment for that of the Commissioner. Tackett, 180 F.3d at 1097; Allen v. Heckler, 749 F.2d 577, 579 (9th Cir. 1984). Nevertheless, a decision supported by substantial evidence will still be set aside if the proper legal standards were not applied in weighing the evidence and making the decision. Brawner v. Secretary of Health and Human Services, 839 F.2d 432, 433 (9th Cir. 1987). Thus, if there is substantial evidence to support the administrative findings, or if there is conflicting evidence that will support a finding of either disability or nondisability, the finding of the Commissioner is conclusive. Sprague v. Bowen, 812 F.2d 1226, 1229-1230 (9 th Cir. 1987).

ALJ'S FINDINGS

At the outset, the ALJ found plaintiff met the DIB requirements through December 31, 2009. (Tr. 18.) The ALJ found at step one that although plaintiff earned some income after onset, she has not engaged in substantial gainful activity. (Tr. 18.) At steps two and three, the ALJ found that plaintiff suffers from

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affective disorder with bipolar features and panic disorder without agoraphobia, impairments that are severe but which do not alone or in combination meet or medically equal a Listing (Tr. 18, 22.) The ALJ found plaintiff less than impairment. completely credible. (Tr. 24.) At step four, relying on the VE, the ALJ found plaintiff's RFC for a full range of work, with slight to no mental limitations, enables her to perform past relevant work. Some past positions within her RFC include administrative clerk, collection associate/clerk, sales trainer/sales agent, sales coordinator (banking), and portfolio manager (registered representative). (Tr. 23, 25.) Because the ALJ found plaintiff could perform past relevant work, she was found not disabled at step four. (Tr. 25.) Accordingly, the ALJ found that plaintiff is not disabled as defined by the Social Security Act. (Tr. 25-26.)

ISSUES

Plaintiff contends that the Commissioner erred as a matter of law by failing to (1) properly weigh the evidence of psychological impairment; and (2) properly assess her credibility. (Ct. Rec. 14 at 10-15.) The Commissioner responds that the ALJ appropriately weighed the evidence asks the Court to affirm his decision. (Ct. Rec. 17 at 2, 12-13).

DISCUSSION

In social security proceedings, the claimant must prove the existence of a physical or mental impairment by providing medical evidence consisting of signs, symptoms, and laboratory findings; the claimant's own statement of symptoms alone will not suffice.

20 C.F.R. § 416.908. The effects of all symptoms must be

evaluated on the basis of a medically determinable impairment which can be shown to be the cause of the symptoms. 20 C.F.R. § 416.929. Once medical evidence of an underlying impairment has been shown, medical findings are not required to support the alleged severity of symptoms. *Bunnell v. Sullivan*, 947, F. 2d 341, 345 (9th Cr. 1991).

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A treating physician's opinion is given special weight because of familiarity with the claimant and the claimant's physical condition. Fair v. Bowen, 885 F. 2d 597, 604-05 (9th Cir. 1989). However, the treating physician's opinion is not "necessarily conclusive as to either a physical condition or the ultimate issue of disability." Magallanes v. Bowen, 881 F.2d 747, 751 (9th Cir. 1989) (citations omitted). More weight is given to a treating physician than an examining physician. Lester v. Cater, 81 F.3d 821, 830 (9th Cir. 1996). Correspondingly, more weight is given to the opinions of treating and examining physicians than to nonexamining physicians. Benecke v. Barnhart, $379 \text{ F. } 3d 587, 592 (9^{\text{th}} \text{ Cir. } 2004).$ If the treating or examining physician's opinions are not contradicted, they can be rejected only with clear and convincing reasons. Lester, 81 F. 3d at 830. If contradicted, the ALJ may reject an opinion if he states specific, legitimate reasons that are supported by substantial evidence. See Flaten v. Secretary of Health and Human Serv., 44 F. 3d 1435, 1463 (9th Cir. 1995).

In addition to the testimony of a nonexamining medical advisor, the ALJ must have other evidence to support a decision to reject the opinion of a treating physician, such as laboratory test results, contrary reports from examining physicians, and

testimony from the claimant that was inconsistent with the treating physician's opinion. Magallanes v. Bowen, 881 F.2d 747, 751-52 (9th Cir. 1989); Andrews v. Shalala, 53 F.3d 1042-43 (9th Cir. 1995).

Plaintiff contends that the ALJ failed to properly credit the opinion of Brooke Sjostrom, MS, LMHC and Mahlon Dalley, Ph.D., following plaintiff's February 23, 2005, evaluation. (Ct. Rec. 14 at 10-13, referring to Tr. 229-237.) Ms. Sjostrom diagnosed bipolar II disorder and panic disorder without agoraphobia. She assessed marked limitations in the ability to relate appropriately to co-workers and supervisors, interact appropriately in public places, and respond appropriately to and tolerate the pressures and expectations of a normal work setting. (Tr. 232, 236.)

The ALJ points out Ms. Sjostrom opined plaintiff's marked impairments would improve and stabilize with treatment, and when that took place she expected plaintiff would be able to return to her previous line of work. (Tr. 19, referring to Tr. 232.) At the time of this evaluation, plaintiff was taking no medication and was not otherwise receiving mental health treatment. (Tr. 229.) Ms. Sjostrom assessed a current GAF of 59. (Tr. 232.)

A Global Assessment of Functioning (GAF) of 59 indicates moderate symptoms (e.g., flat affect and circumstantial speech, occasional panic attacks) or moderate difficulty in social, occupational or school functioning (e.g., few friends, conflicts with peers or co-workers). DIAGNOSTIC AND STATISTICAL MANUAL OF MENTAL DISORDERS FOURTH EDITION (DSM-IV), at p. 32.

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It appears Ms. Sjostrom's opinion that plaintiff's symptoms would resolve with treatment was correct. On October 25, 2005, about eight months later, treating physician Jan Mueller, M.D., notes plaintiff feels "well controlled at current medications" for her bipolar disorder. (Tr. 160.) Dr. Mueller diagnosed bipolar affective disorder, mixed, unspecified; migraine; cervical pain; insomnia (transient), and excess sweating. (Tr. 160.)

To the extent the ALJ rejected the marked impairments assessed by Ms. Sjostrom, he did so because Ms. Sjostrom expected

To the extent the ALJ rejected the marked impairments assessed by Ms. Sjostrom, he did so because Ms. Sjostrom expected plaintiff's symptoms to fully resolve with treatment. This reason is specific, legitimate, and fully supported by the evidence.

The ALJ considered the records and opinions of treating providers Dr. Mueller, Patricia Carlson, ARNP, Stacey Mainer, ARNP, Carol Miller, ARNP, and Bill Martin, RN. (Tr. 19-22, 24-25.) The ALJ notes Dr. Mueller reported as early as April of 2005 plaintiff's bipolar disorder was well controlled. (Tr. 24.) He notes too that in a follow up appointment in June of 2005, plaintiff reported her migraines were very well controlled, and although she continued to have occasional racing thoughts, her depressive symptoms were under excellent control. (Tr. 24.)

The ALJ observes Nurse Carlson's note that plaintiff's mania increased in July of 2005, and medications were adjusted. (Tr. 24.) Significantly, Nurse Carlson "reported this was due to becoming upset that her SSI case might be affected by a change in schedule." (Tr. 24, referring to Tr. 173.) Nurse Carlson indicates that plaintiff declined an offer of a support group even though it is within walking distance of plaintiff's home. (Tr. 173.) The ALJ notes Nurse Carlson assessed a GAF of 60-70

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indicating moderate symptoms. (Tr. 24, referring to Tr. 173.)

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The ALJ notes that the next month, August of 2005, plaintiff told Dr. Mueller she felt well balanced and satisfied in general. (Tr. 24, referring to Tr. 168.) In September of 2005, plaintiff's bipolar symptoms were well controlled, although she suffered medication side effects of hair loss and tremor. (Tr. 24, referring to Tr. 162.) Records indicate that in March of 2006, plaintiff's bipolar disorder was well controlled. (Tr. 24, referring to Tr. 251.) Similarly, the ALJ notes that in December of 2006, plaintiff's bipolar disorder continued to be well managed, and she denied depression or anxiety. (Tr. 24, referring to Tr. 255.) Plaintiff's mania and racing thoughts increased in September of 2007 when she stopped taking medications for financial reasons. Medication was restarted. (Tr. 24, referring to Tr. 276, dated October 26, 2007.) Plaintiff told Nurse Martin she had not been depressed since 2004. He assessed a GAF of 70-80, indicating only mild symptoms. (Tr. 272.)

The ALJ notes the records indicate plaintiff's headaches and mental health problems have continually improved on medication, with relapses only when medications are stopped. (Tr. 24.) The ALJ also observes that plaintiff's ability to work (although parttime) in late 2006 and through 2007 indicates improved functioning overall.

The ALJ was persuaded by the medical and other evidence when he assessed plaintiff's physical and psychological impairments.

There is no evidence in the medical record that plaintiff's condition worsened.

To further aid in weighing the conflicting medical evidence,

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the ALJ evaluated plaintiff's credibility and found her less than fully credible. (Tr. 24.) Credibility determinations bear on evaluations of medical evidence when an ALJ is presented with conflicting medical opinions or inconsistency between a claimant's subjective complaints and diagnosed condition. See Webb v. Barnhart, 433 F. 3d 683, 688 (9th Cir. 2005).

It is the province of the ALJ to make credibility determinations. Andrews v. Shalala, 53 F. 3d 1035, 1039 (9th Cir. 1995). However, the ALJ's findings must be supported by specific cogent reasons. Rashad v. Sullivan, 903 F. 2d 1229, 1231 (9th Cir. 1990). Once the claimant produces medical evidence of an underlying medical impairment, the ALJ may not discredit testimony as to the severity of an impairment because it is unsupported by medical evidence. Reddick v. Chater, 157 F. 3d 715, 722 (9th Cir. 1998). Absent affirmative evidence of malingering, the ALJ's reasons for rejecting the claimant's testimony must be "clear and convincing." Lester v. Chater, 81 F. 3d 821, 834 (9th Cir. 1995). "General findings are insufficient: rather the ALJ must identify what testimony not credible and what evidence undermines the claimant's complaints." Lester, 81 F. 3d at 834; Dodrill v. Shalala, 12 F. 3d 915, 918 (9th Cir. 1993).

The ALJ relied on several factors when he assessed credibility: inconsistent statements, improvement when taking prescribed medication, and activities inconsistent with the degree of impairment alleged, including the ability to work part-time, volunteer, and dance. (Tr. 24.) As the ALJ concludes, there are few, if any, medical, behavioral health or self-reports to support plaintiff's testimony that she is unable to perform full time

work. (Tr. 24.)

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Plaintiff's activities, as noted, include working 20 hours per week, volunteering as a youth leader in her church, washing dishes, laundry, cleaning, cooking, shopping, driving, dancing and going to church weekly. (Tr. 118, 120-122, 321-325.)

The ALJ notes Plaintiff testified she could not stand the pressures of full time work due to severe headaches and fatigue. (Tr. 24). The record does not support her assertion, as the ALJ points out:

. . . the record consistently indicates that after the original diagnosis of bipolar disorder in January 2005, she had continued improvement in her symptoms with treatment, beginning in March 2005. As early as April 2005, Dr. Mueller reported her [plaintiff's] bipolar disorder was well controlled. In follow up in June 2005, she reported to Dr. Mueller that her migraines were very well controlled and although she continued to have occasional racing thoughts, her depressive symptoms were under excellent control. There was a period of increased mania in July 2005, and her medications had to be adjusted, however, Nurse Carlson reported this was due to becoming upset that her SSI case might be affected by a change in schedule. Group resources were offered at that time, however, she declined. Nurse Carlson assessed global assessment of functioning of 60-70 indicating moderate symptoms. By August 2005, she told Dr. Mueller she felt well balanced and satisfied in general. In follow up in September 2005, she had some side effects of medication, including tremor and hair loss; otherwise, her symptoms were well controlled. In follow up in March 2006, her bipolar disorder was well controlled.

(Tr. 24.)

The ALJ is correct that when plaintiff failed to take medication for headaches as prescribed, allegedly due to lack of funds, symptoms increased. (Tr. 24.) Symptoms which are well controlled on medication do not support finding disabling impairments.

The ALJ's reasons for finding plaintiff less than fully

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credible are clear, convincing, and fully supported by the record. See Thomas v. Barnhart, 278 F. 3d 947, 958-959 (9th Cir. 2002)(proper factors include inconsistencies in plaintiff's statements, inconsistencies between statements and conduct, and extent of daily activities). Noncompliance with medical care or unexplained or inadequately explained reasons for failing to seek medical treatment also cast doubt on a claimant's subjective complaints. 20 C.F.R. §§ 404.1530, 426.930; Fair v. Bowen, 885 F. 2d 597, 603 (9th Cir. 1989).

To the extent the ALJ rejected the contradicted opinions of some of the professionals, his reasons are legitimate, specific, and supported by substantial evidence in the record. See Lester $v.\ Chater$, 81 F. 3d 821, 830-831 (9th Cir. 1995) (holding that the ALJ must make findings setting forth specific, legitimate reasons for rejecting the treating physician's contradicted opinion).

The ALJ is responsible for reviewing the evidence and resolving conflicts or ambiguities in testimony. Magallanes v. Bowen, 881 F. 2d 747, 751 (9th Cir. 1989). It is the role of the trier of fact, not this court, to resolve conflicts in evidence. Richardson, 402 U.S. at 400. The court has a limited role in determining whether the ALJ's decision is supported by substantial evidence and may not substitute its own judgment for that of the ALJ, even if it might justifiably have reached a different result upon de novo review. 42 U.S.C. § 405 (g).

The ALJ's finding that plaintiff's headaches are not a severe impairment, because successfully treated with medication, is supported by the record.

The ALJ's assessment of the medical evidence and of

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plaintiff's credibility is supported by the record and free of 1 2 legal error. CONCLUSION 3 Having reviewed the record and the ALJ's conclusions, this 4 court finds that the ALJ's decision is free of legal error and 5 supported by substantial evidence.. 6 IT IS ORDERED: 7 1. Defendant's Motion for Summary Judgment (Ct. Rec. 16) is 8 GRANTED. 9 2. Plaintiff's Motion for Summary Judgment (Ct. Rec. 13) is 10 DENIED. 11 The District Court Executive is directed to file this Order, 12 provide copies to counsel for Plaintiff and Defendant, enter 13 judgment in favor of Defendant, and CLOSE this file. 14 DATED this 18th day of May, 2009. 15 $\frac{\text{s/ James P. Hutton}}{\text{JAMES P. HUTTON}}$ 16 UNITED STATES MAGISTRATE JUDGE 17 18 19 20 21 22 23 24 25 26 27 28